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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032  
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02/28/02  
U.S. PTO

A

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	NUFO021CON
First Inventor	GREEN, EVAN D.H.
Title	METHOD AND APPARATUS FOR FILTERING AN OPTICAL BEAM
Express Mail Label No.	EL923480636US

APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification  
*(preferred arrangement set forth below)* [Total Pages: 30]  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table, or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Pages: 9]

5. Oath or Declaration [Total Pages: 2]  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*  
i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6.  Application Data Sheet. See 37 CFR 1.76

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:  
i.  CD-ROM or CD-R (2 copies); or  
ii.  paper

c.  Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & documents(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*

15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*

16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: **Copy of Revocation/New Power of Attorney from Parent Application (1 pg.)**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: 09/626,526

Prior application Information: Examiner: C. Jackson

Group Art Unit: 2881

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		24353		or <input type="checkbox"/> Correspondence address below	
Insert Customer Number (or bar code label here)					
Name	ROBERT C. HALL PATENT & TRADEMARK OFFICE				
Address	BOZICEVIC, FIELD & FRANCIS LLP 200 Middlefield Road, Suite 200				
City	Menlo Park	State	California	Zip Code	94025
Country	U.S.A.	Telephone	(650) 327-3400	Fax	(650) 327-3231
Name	ROBERT C. HALL	Registration No. (Attorney/Agent)			39,209
Signature		Date			February 28, 2002

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

*Patent fees are subject to annual revision.*

TOTAL AMOUNT OF PAYMENT (\$ 956.00)

## METHOD OF PAYMENT

The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
 Deposit Account Number 50-0815  
 Deposit Account Name Bozicevic, Field & Francis LLP  
 Charge Any Additional Fee Required  
 Under 37 CFR 1.16 and 1.17  
 Applicant Claims small entity status.  
 See 37 CFR 1.27

2.  Payment Enclosed: Check     Credit Card     Money Order     Other

## FEE CALCULATION

## 2. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					740.00

## 1. EXTRA CLAIM FEES

Total Claims	32 - 20** = 12	x	Fee from below	Fee Paid
Indep. Claims	2-3** = 0	x	18 = 0.00	
Multiple Dependent		=		

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$ 216.00				

\*\*or number previously paid, if greater; For Reissues, see above.

Complete if Known					
Application Number					To Be Assigned
Filing Date					February 28, 2002 (herewith)
First Named Inventor					GREEN, EVAN D.H.
Examiner Name					To Be Assigned
Group Art Unit					To Be Assigned
Attorney Docket No.					NUFO021CON

FEE CALCULATION (continued)							
3. ADDITIONAL FEES							
Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid			
105	130	205	65 Surcharge – late filing fee or oath				
127	50	227	25 Surcharge – late provisional filing fee or cover sheet				
139	130	139	130 Non-English specification				
147	2,520	147	2,520 For filing a request for ex parte reexamination				
112	920*	112	920* Requesting publication of SIR prior to Examination action				
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action				
115	110	215	55 Extension for reply within first month				
116	400	216	200 Extension for reply within second month				
117	920	217	460 Extension for reply within third month				
118	1,440	218	720 Extension for reply within fourth month				
128	1,960	228	980 Extension for reply within fifth month				
119	320	219	160 Notice of Appeal				
120	320	220	160 Filing a brief in support of an appeal				
121	280	221	140 Request for oral hearing				
138	1,510	138	1,510 Petition to institute a public use proceeding				
140	110	240	55 Petition to revive – unavoidable				
141	1,280	241	640 Petition to revive – unintentional				
142	1,280	242	640 Utility issue fee (or reissue)				
143	460	243	230 Design issue fee				
144	620	244	310 Plant issue fee				
122	130	122	130 Petitions to the Commissioner				
123	50	123	50 Processing fee under 37 CFR 1.17(q)				
126	180	126	180 Submission of Information Disclosure Stmt				
581	40	581	40 Recording each patent assignment per property (times number of properties)				
146	740	246	370 For each additional invention to be examined (37 CFR § 1.129(a))				
149	740	249	370 For each additional invention to be examined (37 CFR § 1.129(b))				
179	740	279	370 Request for Continued Examination (RCE)				
169	900	169	900 Request for expedited examination of a design application				
Other fee (specify) _____							
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (3) (\$)							

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	ROBERT C. HALL	Registration No. (Attorney/Agent)	39,209	Telephone	(650) 327-3400
Signature				Date	02/28/2002

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